| INFORMATION DISCLOSURE CITATION IN AN APPLICATION  SEP 9 0 7005 (PTO-1449) |                          |                        |                                   |                                 | ATTY. DOCKET NO. SERIAL NO. 15437-0591 10/769,415  APPLICANT: Andrew G. Tucker, et al. |  |                       |  |
|--|--------------------------|------------------------|-----------------------------------|---------------------------------|--|--|-----------------------|--|
| EM & PA  | DEMARK S                 |                        | ·                                 |                                 | FILING DATE:<br>January 30, 200  | 4  | GR0<br><del>218</del> | OUP: 2431  |
|  |                          | <u> </u>               |                                   | U.S. PATENT DOCU                | MENTS  |  |                       |  |
| Exam.<br>Initial*  | Cite<br>No. <sup>1</sup> | U.S. Patent Doc Number | Kind Code <sup>2</sup> (If known) | Name of Patentee<br>of Cited Do |  | Date of Publication Cited Documen MM-DD-YYYY | t                     | Pages, Columns,<br>Lines, Where<br>Relevant<br>Passages or<br>Relevant Figures<br>Appear |
|  |                          | 2002/0156824           | A1                                | Armstron                        | g et al.   | 10-24-2002                                   | 2                     |  |

|                   | FOREIGN PATENT DOCUMENTS |                           |                                       |                                   |  |   |   |                |  |  |
|-------------------|--------------------------|---------------------------|---------------------------------------|-----------------------------------|--|---|---|----------------|--|--|
| Exam.<br>Initial* | Cite No. 1               | Fo<br>Office <sup>3</sup> | reign Patent D<br>Number <sup>4</sup> | Kind Code <sup>5</sup> (If known) | Name of Patentee or Applicant<br>of Cited Document | Date of: Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>6</sup> |  |  |
|                   |                          | EP                        | 130076                                | 6 A                               | Sun Microsystems Inc.                              | 04-09-2003  |   |                |  |  |
|                   |                          | l                         | <u> </u>                              |                                   |  |   |   | L              |  |  |

|                       | OTHER ART – NO PATENT LITERATURE DOCUMENTS  |   |                          |  |  |  |  |  |
|-----------------------|---|---|--------------------------|--|--|--|--|--|
| Examiner<br>Initials* | Cite No <sup>1</sup> Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title o item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue numbe publisher, city and/or country where published |   | Translation <sup>2</sup> |  |  |  |  |  |
| · - · · · · ·         |   | EUROPEAN PATENT OFFICE, "European Search Report," application No. 04252689.7, mailing date July 28, 2005, 3 pages.  |                          |  |  |  |  |  |
|                       |   | Current Claims, European patent application 04252689.7, 6 pages.  |                          |  |  |  |  |  |
|                       |   | SUN MICROSYSTEMS, "Sun EnterpriseTM 1000 Server: Dynamic System Domains," White Paper Online, February 26, 2003, retrieved from the internet at <a href="http://www.sun.com/servers/highend/whitepapers/domains.html?facet=-1">http://www.sun.com/servers/highend/whitepapers/domains.html?facet=-1</a> , retrieved on 06/21/2005, XP-002332946, 7 pages. |                          |  |  |  |  |  |

| Examiner  |            | Date Considered | 05/44/0000 |
|-----------|------------|-----------------|------------|
| Signature | 05/11/2009 |                 | 05/11/2009 |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>3</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

IFW

Attorney Docket No. 15437-0591

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| n re application of:              | •                          |    |
|-----------------------------------|----------------------------|----|
| ••                                | ) Confirmation No.: 8014   |    |
| Andrew G. Tucker, et al.          | )                          |    |
| •                                 | ) Examiner: NYA            |    |
| Serial No.: 10/769,415            | )                          |    |
| ·                                 | ) Group Art Unit No.: 218  | 33 |
| Filed on: January 30, 2004        | )                          |    |
|                                   |                            |    |
| For: FINE-GRAINED PRIVILEGES IN C | PERATING SYSTEM PARTITIONS |    |
| •                                 |                            |    |

Mail Stop Amendment Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

### DISCLOSURE PURSUANT TO 37 CFR §1.56 OF RELATED APPLICATION(S)

Sir:

Applicant(s) would like to bring to the Examiner's attention that the following applications,

| U.S. Application/ | File Date  | Atty. Docket. No. |
|-------------------|------------|-------------------|
| Pat. No.          |            | ,                 |
| 10/833,474        | 4/27/2004  | 15437-0582        |
| 10/767,118        | 1/28/2004  | 15437-0583        |
| 10/767,117        | 1/28/2004  | 15437-0584        |
| 10/744,360        | 12/22/2003 | 15437-0588        |
| 10/767,003        | 1/28/2004  | 15437-0593        |
| 10/762,067        | 1/20/2004  | 15437-0597        |
| 10/762,066        | 1/20/2004  | 15437-0598        |
| 10/767,235        | 1/28/2004  | 15437-0599        |
| 10/771,827        | 2/3/2004   | 15437-0600        |
| 10/771,698        | 2/3/2004   | 15437-0601        |
| 10/768,303        | 1/29/2004  | 15437-0602        |

/Michael Vaughan/

05/11/2009

Referred to as the "related applications", contain subject matter that is related to the subject matter of the present application. The related applications may contain one or more claims that are substantially similar to one or more claims in the present application, and those claims may

Attorney Docket No. 15437-0591

have been rejected in the related applications. Therefore, the Examiner is encouraged to review the file histories of the related applications as some of the information contained therein may be material to the examination of the present application.

Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302.  $\Lambda$  duplicate of this sheet is enclosed.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: September 28, 2004

Bobby K. Truong Reg. No. 37,499

1600 Willow Street

San Jose, California 95125-5106 Telephone: (408) 414-1080 ext. 234

Facsimile: (408) 414-1076

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on September 2004.

(Date of Deposit)

Annette Jacobs

(Typed or printed name of person mailing correspondence)

ignature of person mailing correspondence)

| 6  | IPE  | TOTO                            |  | ATTY. DOCKET NO. 15437-0591 APPLICANT: Andrew G. Tucker, et al. |   |  | SERIAL NO.<br>10/769,415 |  |  |
|--|--|---------------------------------|--|---|---|--|--------------------------|--|--|
| JAN 1 0 2006   |  |                                 |  |   | FILING DATE:<br>January 30, 2004                        |  |                          | GROUP: 2183 2431   |  |
| TO SERVICE SER | January 30, 2004 2183 2431 U.S. PATENT DOCUMENTS |                                 |  |   |   |  |                          |  |  |
| Exam.<br>Initial*  | Cite<br>No.                                      | U.S. Patent Document Name of Pa |  | Name of Patentee  | F Patentee or Applicant Date of Cited Document Cited MM |  | ι                        | Pages, Columns,<br>Lines, Where<br>Relevant<br>Passages or<br>Relevant Figures<br>Appear |  |
|  |  |                                 |  |   |   |  |                          |  |  |
| _  |  |                                 |  |   |   |  |                          |  |  |
|  |  |                                 |  |   |   |  |                          |  |  |
|  |  |                                 |  |   |   |  |                          |  |  |

| Exam.    | Cite             | Foreign Patent Document |                     | Document                             | Name of Patentee or Applicant | Date of                                  | Pages,  | T |
|----------|------------------|-------------------------|---------------------|--------------------------------------|-------------------------------|--|---|---|
| Initial* | No. <sup>1</sup> | Office <sup>3</sup>     | Number <sup>4</sup> | Kind Code <sup>5</sup><br>(If known) | of Cited Document             | Publication of Cited Document MM-DD-YYYY | Columns, Lines, Where Relevant Passages or Relevant Figures Appe ar |   |
|          |                  |                         |                     |                                      |                               |  |   |   |

| Examiner<br>Initials* | Cite<br>No <sup>1</sup>                          | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | Translation <sup>2</sup> |
|-----------------------|--|--|--------------------------|
|                       |  | Official Action from EPO for foreign patent application no. 04 252 690.5 - 2211 dated 23 November 2005 (5 pgs) – attached.   |                          |
|                       | <del>                                     </del> | Current Claims in EPO patent application no. 04 252 690.5 - 2211 (2 pgs) - attached.   | ·                        |

| Examiner  | /Michael Voughan/ | Date Considered | 05:44/0000 |
|-----------|-------------------|-----------------|------------|
| Signature | /Michael Vaughan/ | ·               | 05/11/2009 |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>3</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

PTO/SB/08a (07-05)

Approved for use through 07/31/2006, OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

aperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known

te for form 1449A/PTO

**REFORMATION DISCLOSURE** STATEMENT BY APPLICANT

(Use as many sheets as necessary)

**Application Number** 10/769,415

January 30, 2004 Filing Date

First Named Inventor Andrew Tucker Art Unit

2431 <del>2195</del>-Vaughan

**Examiner Name** 

**Attorney Docket Number** 

An, Meng Ai T-

15437-0591

Sheet 1

of 3

**U.S.PATENT DOCUMENTS** Pages, Columns, Lines, Where **Publication Date** Name of Patentee or Examiner Cite **Document Number** Relevant Passages or Relevant MM-DD-YYYY Applicant of Cited Document Initials\* No Number-Kind Code (1) Figures Appear US-2002/124072 A1 09-05-2002 Tormasov et al. US-US-US-US-US-US-US-US-US-US-US-US-US-US-US-US-US-

|                       | FOREIGN PATENT DOCUMENTS |  |                                |  |  |    |  |  |
|-----------------------|--------------------------|--|--------------------------------|--|--|----|--|--|
| Examiner<br>Initials* | Cite<br>No.1             | Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures<br>Appear | T⁰ |  |  |
|                       |                          | GB 2301912 A   | 12-18-1996                     | IBM Corporation                                    |  |    |  |  |
|                       | <b>†</b>                 | WO 02/061554 A1  | 08-08-2002                     | Hewlett Packard Co.                                |  |    |  |  |
|                       |                          |  |                                | I  |  |    |  |  |
|                       |                          |  |                                |  |  |    |  |  |
|                       |                          |  | T                              |  | 1  |    |  |  |

| Examiner  | Date       |  |
|-----------|------------|--|
| Signature | Considered |  |

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Substitute for form 1449B/PTO **Application Number** 10/769,415 January 30, 2004 INFORMATION DISCLOSURE Filing Date **Andrew Tucker** First Named Inventor STATEMENT BY APPLICANT 2195 2431 Art Unit (Use as many sheets as necessary) Vaughan An, Meng Ai T **Examiner Name** Attorney Docket Number 15437-0591 Sheet

|                       |              | NON PATENT LITERATURE DOCUMENTS   |    |
|-----------------------|--------------|---|----|
| Examiner<br>Initials* | Cite<br>No.1 | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T² |
|                       |              | "CHMOD – Change the Permission Mode of a File," Internet Citation, December 4, 2000, XP007901399, Retrieved from the internet at http://www.cse.msu.edu/cgibin/man2html?chmod?1?/usr/man, retrieved in December 4, 2006, 7 pages.                               |    |
|                       |              | "SETFACL – Modify the Access Control List (ACL) for a File or Files," Internet Citation, December 11, 2001, XP007901398, Retrieved from the Internet at http://www.cse.msu.edu/cgi-bin/man2html?setfacl?1?/usr/man, retrieved on December 4, 2006, 4 pages.     |    |
|                       |              | VANCE, ASHLEE, "Solaris 10 to get Zoned," The Register, April 9, 2003, XP007901426, located on the internet at http://www.theregister.co.uk/2003/04/09/solaris, retrieved on December 7, 2006, 2 pages.   |    |
|                       |              | HALL, BRIAN "BEEJ, "FIFOs," Copyright 1997 by Brian "Beej" Hall, XP007901420, located on the internet at http://www.ecst.csuchico.edu/{beej/guide/ipc/fifos.html, retrieved on 12-07-2006, 6 pages.   |    |
|                       |              | IBM, "Privilege Control Mechanism, for INIX Systems," IBM Technical Disclosure Bulletin, Vol. 34, No. 7B, December 1991, XP000282651, pp. 477-479.  |    |
|                       |              | HALL, BRIAN "BEEJ", "Beej's Guide to Network Programming –Using Network Sockets," Copyright 1995-2001 by Brian "Beej" Hall, XP007901423, pp. 1-49.  |    |
|                       |              | HALL, BRIAN "BEEJ, "Memory Mapped Files," Copyright 1997 by Brian "Beej" Hall, XP007901425, located on the internet at http://www.ecst.csuchico.edu/{beej/guide/ipc/mmap.html, retrieved on 12-07-2006, 4 pages.  |    |
|                       |              | HALL, BRIAN "BEEJ, "Shared Memory Segments," Copyright 1997 by Brian "Beej" Hall, XP007901424, located on the internet at http://www.ecst.csuchico.edu/{beej/guide/ipc/shmem.html, retrieved on 12-07-2006, 5 pages.  |    |

| Examiner<br>Signature | Date<br>Considered |  |
|-----------------------|--------------------|--|

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional).¹ Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case, Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Substitute for form 1449B/PTO 10/769,415 **Application Number** January 30, 2004 Filing Date INFORMATION DISCLOSURE STATEMENT BY APPLICANT First Named Inventor **Andrew Tucker** 2431 2105 Art Unit (Use as many sheets as necessary) Vaughan **Examiner Name** <del>An, Meng Ai T</del> 15437-0591 Attorney Docket Number Sheet 3

|                      |              | NON PATENT LITERATURE DOC   |                   |                        |          |
|----------------------|--------------|---|-------------------|------------------------|----------|
| xaminer<br>Initials* | Cite<br>No.1 | Include name of the author (in CAPITAL LETTERS), title of the ar<br>magazine, journal, serial, symposium, catalog, etc<br>number(s), publisher, city and/or count | c.). date. paqe(: | 5), volume45508        | T²       |
|                      |              | EUROPEAN PATENT OFFICE, "European Search R<br>15437-0670), dated December 21, 2006, 4 pages.  | eport," App.      | No. 04252688.9 (docket |          |
|                      | <u></u>      | Current Claims for App. No. 04252688.9 (docket 154  | 37-0670), 6       | pages.                 |          |
|                      |              |   |                   |                        |          |
|                      |              |   |                   |                        |          |
|                      |              |   |                   |                        |          |
|                      |              |   |                   |                        |          |
|                      |              |   |                   |                        |          |
|                      |              |   |                   |                        |          |
| Examiner             |              | /Michael Vaughan/   | Date              | 05/11/2009             | <u> </u> |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 145., Alexandria, VA 22313-1450. Alexandria, VA 22313-1450.

Multiuse License for one branch office only

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached.

ollogion of information unless it contains a valid OMB control number

|      |                                   | Complete if Known      |                       |  |
|------|-----------------------------------|------------------------|-----------------------|--|
|      | Substitute for form 1449A/PTO     | Application Number     | 10/769,415            |  |
|      | INFORMATION DISCLOSURE            | Filing Date            | January 30, 2004      |  |
|      | STATEMENT BY APPLICANT            | First Named Inventor   | Andrew Tucker         |  |
|      | (Use as many sheets as necessary) | Art Unit               | <del>2195</del> 2431  |  |
|      |                                   | Examiner Name          | Tang, Kenneth Vaughan |  |
| Shee | t 1 of 1                          | Attorney Docket Number | 15/37-0591            |  |

|                       |                          |   | U.S.PATENT DO                  | CUMENTS  |   |
|-----------------------|--------------------------|---|--------------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number  Number-Kind Code <sup>2 (d known</sup> ) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       | $\Box$                   | 5,345,590   | 09-06-1994                     | Ault et al.  |   |
|                       |                          | 6,289,462 B1  | 09-11-2001                     | McNabb et al.                                      |   |
|                       | 1 1                      | 7,076,633 B2  | 07-11-2006                     | Tormasov et al.                                    |   |
|                       | TT                       | 7,099,948 B2  | 08-29-2006                     | Tormasov et al.                                    |   |
|                       | I                        | 7,461,144   | 12-02-2008                     | Beloussov et al.                                   |   |
|                       |                          | 5,682,530   | 10-28-1997                     | Shimamura  |   |
|                       |                          | 6,247,109 B1  | 06-12-2001                     | Kleinsorge et al.                                  |   |
|                       | $\Box$                   | 2003/0037092 A1   | 02-20-2003                     | McCarthy et al.                                    |   |
|                       | T                        |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       | 1                        |   |                                |  |   |
|                       |                          |   |                                |  |   |

|                       | FOREIGN PATENT DOCUMENTS |  |                                |  |  |    |  |  |
|-----------------------|--------------------------|--|--------------------------------|--|--|----|--|--|
| Examiner<br>Initials* | Cite<br>No.¹             | Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines,<br>Where Relevant<br>Passages<br>or Relevant Figures<br>Appear | Т⁵ |  |  |
| <b></b>               |                          | EP 1253516 A2  | 10-30-2002                     | Sun Microsystems Inc.                              |  |    |  |  |
| ļ                     | †                        | <b></b>  |                                | <del> </del>                                       |  |    |  |  |

|           |                      |            | <del></del> |
|-----------|----------------------|------------|-------------|
| Examiner  | /Michael Vaughan/    | Date       | 05/11/2009  |
| Signature | /Whorldor + dagridin | Considered | 03/11/2003  |

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

| SEP 0 6           | 7005        | · IN AN | DISCLOSURE<br>APPLICATIO<br>PTO-1449) |  | ATTY. DOCKE<br>15437-05921<br>APPLICANT:<br>Andrew G. Tu<br>FILING DATE:<br>January 30, 20 | cker, et al.                                  | SERIAL NO.<br>10/769,415<br>GROUP:<br>2183- 2431 |
|-------------------|-------------|---------|---------------------------------------|--|--|---|--|
| Exam.<br>Initial* | Cite<br>No. | U.S. Pa | Kind Code <sup>2</sup> (If known)     | U.S. PATENT DOCU<br>Name of Patente<br>of Cited Do | e or Applicant   | Date of Publication Cited Document MM-DD-YYYY | Lines, Where                                     |

|                     | Foreign Patent Document |                                      | Name of Patentee or Applicant                                  | Date of  | Pages,   | Т  |
|---------------------|-------------------------|--------------------------------------|--|--|--|--|
| Office <sup>3</sup> | Number <sup>4</sup>     | Kind Code <sup>5</sup><br>(If known) | of Cited Document  | Publication of Cited Document MM-DD-YYYY   | Columns, Lines, Where Relevant Passages or Relevant Figures Appear   |  |
|                     |                         |                                      |  |  |  |  |
|                     | 1                       | 1                                    | Office <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> | Office <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> of Cited Document | Office <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> of Cited Document Publication of Cited Document | Office <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (If known)  of Cited Document  MM-DD-YYYY  Publication of Cited Document  MM-DD-YYYY  Passages or Relevant  Figures |

| Examiner<br>Initials* | Cite<br>No <sup>1</sup>                           | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | Translation <sup>2</sup> |
|-----------------------|---|--|--------------------------|
|                       |   | Official Action from EPO for foreign patent application no. 04 252 690.5 - 2211 dated 10 June 2005 (6 pgs) – attached.   |                          |
| - <del></del>         | <del>                                      </del> | Current Claims in EPO patent application no. 04 252 690.5 - 2211 (9 pgs) - attached.   |                          |

|           |                   | <del></del>     |            |
|-----------|-------------------|-----------------|------------|
| Examiner  |                   | Date Considered | 05/11/2009 |
| Signature | /Michael Vaughan/ |                 | 05/11/2009 |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>3</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Substitute for form 1449B/PTO 10/769,415 Application Number January 30, 2004 INFORMATION DISCLOSURE Filing Date First Named Inventor Andrew Tucker, et al. STATEMENT BY APPLICANT 2431 2195 Art Unit (Use as many sheets as necessary) vaughan **Examiner Name** 15437-0591 Attorney Docket Number Sheet of

|                       |              | NON PATENT LITERATURE DOCUMENTS   |                |             |
|-----------------------|--------------|---|----------------|-------------|
| Examiner<br>Initials* | Cite<br>No.¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appromagazine, journal, serial, symposium, catalog, etc.), date, page(s), number(s), publisher, city and/or country where publish | , volume-issue | T²          |
|                       |              | Office Action from CN for foreign patent application no. 2004 June 1, 2007, with translation of text (4 pgs).   |                |             |
|                       |              | Current claims in CN foreign patent application no. 2004100   | 63136.3.       |             |
|                       |              |   |                |             |
|                       |              |   |                |             |
|                       |              |   |                |             |
|                       |              |   |                |             |
|                       |              |   |                |             |
|                       |              |   |                |             |
| Examiner<br>Signature |              | /Michael Vaughan/ Date Considered   | 05/11/2009     | <del></del> |

Customer Ref. No. SUN030221-US-NP

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&#</sup>x27;Applicant's unique citation designation number (optional). 'Applicant is to place a check mark here if English language Translation is attached. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known

# Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of | 1

Sheet 1

| Comp                   | olete if Known        |  |
|------------------------|-----------------------|--|
| Application Number     | 10/769,415            |  |
| Filing Date            | January 30, 2004      |  |
| First Named Inventor   | Andrew Tucker         |  |
| Art Unit               | <del>-2195</del> 2431 |  |
| Examiner Name          | Fang, Kenneth Vaughar |  |
| Attorney Docket Number | 15437-0591            |  |

|                       |                          |   | U.S.PATENT DO                  | CUMENTS  |   |
|-----------------------|--------------------------|---|--------------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number  Number-Kind Code <sup>2 (# known</sup> ) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines. Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       | 1 1                      | 5,155,809   | 10-13-1992                     | Baker et al.                                       |   |
|                       | 1 1                      | 5,283,868   | 02-01-1994                     | Baker et al.                                       |   |
|                       |                          | 5,291,597   | 03-01-1994                     | Shorter et al.                                     |   |
|                       | 1 1                      | 5,325,517   | 06-28-1994                     | Baker et al.                                       |   |
|                       | $\Box$                   | 6,738,832 B2  | 05-18-2004                     | Burr et al.  |   |
|                       | 1 1                      | 6,813,766 B2  | 11-02-2004                     | Hay  |   |
|                       |                          | 6,961,941 B1  | 11-01-2005                     | Nelson et al.                                      |   |
|                       |                          | 7,188,120 B1  | 03-06-2007                     | Leonard et al.                                     |   |
|                       |                          | 2002/0069369 A1   | 06-16-2002                     | Tremain  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       | $\vdash$                 |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |

| FOREIGN PATENT DOCUMENTS |              |   |                                |  |  |                |
|--------------------------|--------------|---|--------------------------------|--|--|----------------|
|                          | Cite<br>No.¹ | Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> ( <i>if known</i> ) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines,<br>Where Relevant<br>Passages<br>or Relevant Figures<br>Appear | T <sup>6</sup> |
|                          |              |   |                                |  |  |                |

| Examiner  | AP Local Land     | Date       | 05/11/2000 |
|-----------|-------------------|------------|------------|
| Signature | /Michael Vaughan/ | Considered | 05/11/2009 |

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.aspto.gcw">www.aspto.gcw</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Skind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

|                               | Under the Paperwork Reduction Act of 1995, no persons are required |       |                    | Comp                   | lete if Known | 11.7    |
|-------------------------------|--|-------|--------------------|------------------------|---------------|---------|
| Substitute for form 1449A/PTO |  |       | Application Number | 10/769,415             |               |         |
|                               | INFORMATION DISCLOSURE   |       | Filing Date        | January 30, 200        | 4             |         |
|                               | STATEMENT BY APPLICANT   |       |                    | First Named Inventor   | Andrew Tucker |         |
|                               | (Use as many sheets as r   | neces | sary)              | Art Unit               | 2195          | 2431    |
|                               |  |       |                    | Examiner Name          | Tang, Kenneth | Vaughan |
| Shee                          | : 1  | of    | 2                  | Attorney Docket Number | 15437-0591    |         |

|                       |                          |   | U.S.PATENT DO                  | CUMENTS  |   |
|-----------------------|--------------------------|---|--------------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number  Number-Kind Code <sup>2 (I Known</sup> ) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       |                          | 5,590,314   | 12-31-1996                     | Ueno et al.  |   |
|                       |                          | 6,681,238 B1  | 01-20-2004                     | Brice et al.                                       |   |
|                       |                          | 6,944,699 B1  | 09-13-2005                     | Bugnion et al.                                     |   |
|                       |                          |   |                                |  |   |
| .,,-                  |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       | $\sqcup$                 |   |                                |  |   |
|                       | ╁╌╏                      |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       | +                        |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       | +                        |   |                                |  |   |
|                       | ╁┤                       |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       | +                        |   |                                |  |   |
|                       |                          |   |                                |  |   |

| FOREIGN PATENT DOCUMENTS     |   |                                |  |  |                |
|------------------------------|---|--------------------------------|--|--|----------------|
| <br>Cite<br>No. <sup>1</sup> | Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (# known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines,<br>Where Relevant<br>Passages<br>or Relevant Figures<br>Appear | Τ <sup>6</sup> |
|                              |   |                                |  |  |                |
| <br>I                        |   |                                |  |  |                |
| I                            |   |                                |  |  |                |

|           |            | <u> </u> | ₹ |
|-----------|------------|----------|---|
| Examiner  | Date       |          | • |
| Signature | Considered |          |   |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are re quired to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Substitute for form 1449B/PTO 10/769,415 **Application Number** INFORMATION DISCLOSURE January 30, 2004 Filing Date STATEMENT BY APPLICANT First Named Inventor **Andrew Tucker** 2431 2195 Art Unit (Use as many sheets as necessary) Tang, Kenneth Vaughan **Examiner Name** Sheet 15437-0591 Attorney Docket Number of

| RS), title of the article (when appropriate), title of the item (book, sium, catalog, etc.), date, page(s), volume-issue city and/or country where published.  Ind Managing HP-UX Virtual Partitions (vPars)", 0018, Copyright Hewlett-Packard Company, 72-75, and 157-161.  ISD for Fun and Profit", ;Login: The Magazine mber 3, June 2002, 9 pages. |
|--|
| sium, catalog, etc.), date, page(s), volume-issue city and/or country where published.  Ind Managing HP-UX Virtual Partitions (vPars)", 0018, Copyright Hewlett-Packard Company, 72-75, and 157-161.  ISD for Fun and Profit", ;Login: The Magazine  |
| 0018, Copyright Hewlett-Packard Company, 72-75, and 157-161.  SSD for Fun and Profit", ;Login: The Magazine  |
|  |
|  |
| ng / dev and devices in the UNIX kernel", n website on02/full_papers/kamp/kamp_html/index.html>  |
| ation", Bell Laboratories, The Bell System   |
|  |
|  |
|  |
|  |

| Examiner<br>Signature | /Michael Vaughan/ | Date<br>Considered | 05/11/2009 |
|-----------------------|-------------------|--------------------|------------|

Customer Ref. No. SUN030221-US-NP

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&#</sup>x27;Applicant's unique citation designation number (optional). 'Applicant is to place a check mark here if English language Translation is attached. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

| The Examiner is hereby notified that the present application is related to the |
|--|
| following related application(s):  |

DISCLOSURE OF RELATED APPLICATIONS

| U.S. Application/ Pat. No. | File Date | Atty. Docket. No. |
|----------------------------|-----------|-------------------|
|                            |           |                   |
|                            |           |                   |
|                            |           |                   |
|                            | 1         |                   |

The related application(s) may contain subject matter that is related to the subject matter of the present application. The related application(s) may contain one or more claims that may be substantially similar to one or more claims in the present application, and those claims may have been rejected in the related application(s). Therefore, the Examiner is encouraged to review the file history(ies) of the related application(s) as some of the information contained therein may be material to the examination of the present application.

 $\boxtimes$ 

The Examiner is hereby notified that for the following related application(s) an Office Action or other PTO correspondence has been received as indicated below:

DISCLOSURE OF PTO CORRESPONDENCE

| U.S.         | File Date  | Correspondence      | Correspond | Atty. Docket. No. |
|--------------|------------|---------------------|------------|-------------------|
| Application/ |            | Type                | ence       |                   |
| Pat. No.     |            |                     | Mailing    |                   |
|              |            |                     | Date       |                   |
| 10/771,698   | 02/03/2004 | Office Action       | 04/29/2008 | 15437-0601        |
| 10/763,147   | 01/21/2004 | Notice Of Allowance | 06/16/2008 | 15437-0589        |
| 10/744,360   | 12/22/2003 | Notice Of Allowance | 07/01/2008 | 15437-0588        |

/Michael Vaughan/

05/11/2009

The related application(s) may contain one or more claims that may be substantially similar to one or more claims in the present application, and those claims may have been rejected in the related application(s). Therefore, the Examiner is encouraged to review the file history(ies) of the related application(s) as some of the information contained therein may be material to the examination of the present application.

| INF               | ORN                      | IN AN API            | PLICATION                         | E CITATION ON PE CO             | ATTY. DOCKET<br>15437-0591<br>APPLICANT:<br>Andrew G. Tuc |   |           | RIAL NO.<br>/769,415   |
|-------------------|--------------------------|----------------------|-----------------------------------|---------------------------------|---|---|-----------|--|
|                   |                          |                      | •                                 | a se                            | FILING DATE: 1/30/2004                                    |   | GRC<br>NY | . 2431   |
|                   |                          |                      |                                   | U.S. PATENT DOCU                | MENTS   |   |           |  |
| Exam.<br>Initial* | Cite<br>No. <sup>1</sup> | U.S. Patent D Number | Kind Code <sup>2</sup> (If known) | Name of Patentee<br>of Cited Do | or Applicant  | Date of Publication<br>Cited Document<br>MM-DD-YYYY | .         | Pages, Columns,<br>Lines, Where<br>Relevant<br>Passages or<br>Relevant Figures<br>Appear |
|                   |                          | 6,074,427            |                                   | Fought                          | et al.  | 6/13/2000   |           |  |
|                   |                          |                      |                                   |                                 |   |   |           |  |
|                   |                          |                      |                                   |                                 |   |   |           |  |
|                   |                          |                      |                                   |                                 |   |   |           |  |

| Exam. Cite   No.1 |      | Foreign Patent Document                          |                     | Document                             | Name of Patentee or Applicant | Date of                                   | Pages,   | T |
|-------------------|------|--|---------------------|--------------------------------------|-------------------------------|---|--|---|
|                   | No.' | Office <sup>3</sup>                              | Number <sup>4</sup> | Kind Code <sup>s</sup><br>(If known) | of Cited Document             | Publication of Cited Document MM-DD- YYYY | Columns,<br>Lines, Where<br>Relevant<br>Passages or<br>Relevant<br>Figures<br>Appear | • |
|                   |      |  |                     |                                      |                               |   |  |   |
|                   | -    | <del>                                     </del> |                     |                                      |                               |   |  |   |
|                   |      |  |                     |                                      |                               |   |  | L |

| Examiner       | Date Considered |
|----------------|-----------------|
| Signature      |                 |
| ACMANDED A COL |                 |

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|            |  | O.F.   |  |                     |  |  |
|------------|--|--|--|---------------------|--|--|
| Substituté | for Form   | 1449A/PTO (Modified)                           | Attorney Docket No.:                         | Application Number: |  |  |
| (use       | as many sh   | eets as necessary)                             | 15437-0591                                   | 10/769,415          |  |  |
|            |  | MAY 2 DEME                                     | First Named Inventor:                        |                     |  |  |
|            |  | \ "  | Andrew G. Tucker, et al.                     |                     |  |  |
|            |  | ALENO TO DET                                   | Filing Date:                                 |                     |  |  |
|            |  | 27 6 (11)                                      | 1/30/2004                                    |                     |  |  |
|            |  | OTHER ART – NO PATENT                          | LITERATURE DOCUMENTS                         | ····                |  |  |
| Examiner   | Cite   | Include name of the author (in CAPITAL LET     |  |                     |  |  |
| Initials*  | No   | item (book, magazine, journal, serial, symposi | um, catalog, etc.), date, page(s), volume-is | sue number(s),      |  |  |
|            | publisher, city and/or country where published   |  |  |                     |  |  |
|            |  | Communications from the ACM (ISSN: 00          |  |                     |  |  |
|            | Operating System Approach to Securing E-Services" by Chris Dalton and Tse Huong Choo, ACM Copyright Notice, © 2001, (8 pgs).                                 |  |  |                     |  |  |
| <u>-</u>   |  | Sun Microsystems, Inc. entitled "Server Vin    | chalization with Trusted Solaris TM &        | Operating           |  |  |
|            |  | Environment by Glenn Faden Sun RhiePri         | ints TM On Line – February 2002              | Operating           |  |  |
|            | Environment, by Glenn Faden, Sun BluePrints TM OnLine – February 2002, <a href="http://www.sun.com/blueprints">http://www.sun.com/blueprints</a> , (21 pgs). |  |  |                     |  |  |
|            | Network Working Group entitled "IP Version 6 Addressing Architecture", by R. hinden, Nokia,  |  |  |                     |  |  |
| •          | S. Deering, Cisco System, dtd July 1998, (28 pgs).   |  |  |                     |  |  |
|            | IBM entitled "Partitioning for the IBM eserver pSeries 690 System, © Copyright IBM Corp.   |  |  |                     |  |  |
|            | •  |  |  |                     |  |  |
|            |  | IBM System Partitioning on IBM eserver x       | Series Servers entitled "Effective Serv      | er                  |  |  |
|            |  | Consolidation and Resource Management v        | vith System Partitioning" by Mark T. (       | Chapman,            |  |  |
|            |  | IBM Server Group, dtd December 2001, (2        |  |                     |  |  |
|            |  | Virtual Private Servers and Security Contex    |  |                     |  |  |
|            |  | http://www.solucorp.qc.ca/miscprj/s_conter     | nt.hc?prjstate=1&nodoc=0, (2 pgs).           |                     |  |  |
|            |  | SunSoft, a Sun Microsystems, Inc. Business     | s entitled "File System Administration       | ", © 1994 Sun       |  |  |
|            |  | Microsystems, Inc., (62 pgs).                  | •  |                     |  |  |
|            |  |  | <del></del>                                  |                     |  |  |
|            |  |  |  | ľ                   |  |  |
|            |  |  |  |                     |  |  |
|            |  |  |  |                     |  |  |
|            |  |  | •  |                     |  |  |
|            |  |  |  |                     |  |  |
| i          |  |  |  |                     |  |  |
|            |  |  |  |                     |  |  |
|            |  |  |  |                     |  |  |
|            | <u> </u>   |  |  |                     |  |  |

/Michael Vaughan/

Examiner

Signature

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**Date Considered** 

05/11/2009

<sup>\*</sup>Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

| INFORMATION DISCLOSURE CITATION IN AN APPLICATION (PTO-1449) |              |                              |                                     |                             | ATTY. DOCKET NO. 15437-0591  APPLICANT: Andrew G. Tucker, et al. |   |                     |
|--|--------------|------------------------------|-------------------------------------|-----------------------------|--|---|---------------------|
| 10   | 27 2006      |                              |                                     | ALCO DEFENSE DOGI           | FILING DATE January 30, 2  |   | GROUP:<br>2183 2431 |
| Exam.<br>Initial*  | Cite<br>No.' | U.S. Patent Docu<br>Number K | ind Code <sup>2</sup><br>(If known) | Name of Patente of Cited De | e or Applicant   | Date of Publication<br>Cited Document<br>MM-DD-YYYY | Lines, Where        |
|  |              | 2002/0161817                 | A1                                  | Dorofee                     | v et al.   | 10-31-2002  |                     |
| •  |              |                              |                                     |                             |  |   |                     |

| Exam. Cite | e    | Foreign Patent Document            |                                      | Name of Patentee or Applicant | Date of                                  | Pages,   | T |
|------------|------|------------------------------------|--------------------------------------|-------------------------------|--|--|---|
| nitial* No | Offi | e <sup>3</sup> Number <sup>4</sup> | Kind Code <sup>5</sup><br>(If known) | of Cited Document             | Publication of Cited Document MM-DD-YYYY | Columns, Lines, Where Relevant Passages or Relevant Figures Appear |   |
|            |      |                                    |                                      |                               |  |  |   |

| Initials* No item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue numpublisher, city and/or country where published | noci(s). |
|--|----------|
|  |          |
|  |          |
|  |          |
|  |          |

| Examiner  |                   | Date Considered | 05/11/2009 |
|-----------|-------------------|-----------------|------------|
| Signature | /Michael Vaughan/ |                 |            |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>4</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

Sheet 1

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of 2

| Co                     | mplete if Known  |         |
|------------------------|------------------|---------|
| Application Number     | 10/769,415       |         |
| Filing Date            | January 30, 2004 | 4       |
| First Named Inventor   | Andrew Tucker    |         |
| Art Unit               | 2195             | 2431    |
| Examiner Name          | Tang, Kenneth    | Vaughan |
| Attorney Docket Number | 15437-0591       |         |

|                       |               |   | U.S.PATENT DO                  | CUMENTS  |   |
|-----------------------|---------------|---|--------------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No.¹  | Document Number  Number-Kind Code <sup>2 (# known</sup> ) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines. Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       |               | 6,957,435 B2  | 10-18-2005                     | Armstrong et al.                                   |   |
| , ,                   |               | 2002/0120660 A1   | 08-29-2002                     | Hay et al.   |   |
|                       |               | 2003/0014466 A1   | 01-16-2003                     | Berger et al.                                      |   |
|                       |               | 2004/0210760 A1   | 10-21-2004                     | McGrath et al.                                     |   |
|                       |               | 2002/0083367 A1   | 06-27-2002                     | McBride et al.                                     |   |
|                       |               | 5,963,911   | 10-05-1999                     | Walker et al.                                      |   |
|                       |               | 6,438,594 B1  | 08-20-2002                     | Bowman-Amuah                                       |   |
|                       |               | 2002/0156824 A1   | 10-24-2002                     | Armstrong et al.                                   |   |
|                       |               | 2002/0173984 A1   | 11-21-2002                     | Robertson et al.                                   |   |
|                       |               | 6,725,457 B1  | 04-20-2004                     | Priem et al.                                       |   |
|                       |               | 6,859,926 B1  | 02-22-2005                     | Brenner et al.                                     |   |
|                       |               | 6,993,762 B1  | 01-31-2006                     | Pierre   |   |
|                       |               | 7,096,469 B1  | 08-22-2006                     | Kubala et al.                                      |   |
|                       | $\square$     | 6,792,514 B2  | 09-14-2004                     | Kapoor et al.                                      |   |
|                       |               |   |                                |  |   |
|                       |               |   |                                |  |   |
|                       | $\  \cdot \ $ |   |                                |  |   |
|                       |               |   |                                |  |   |
|                       | $\vdash$      |   |                                | +  |   |

| -                     | FOREIGN PATENT DOCUMENTS |  |                                |  |  |    |  |  |
|-----------------------|--------------------------|--|--------------------------------|--|--|----|--|--|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines,<br>Where Relevant<br>Passages<br>or Relevant Figures<br>Appear | T€ |  |  |
|                       |                          | EP 1 253 516 A2  | 10-30-2002                     | Sun Microsystems, Inc.                             |  |    |  |  |
|                       | <u> </u>                 |  |                                |  |  |    |  |  |
|                       | l                        |  | I                              |  |  |    |  |  |

| Examiner  | Date       |  |
|-----------|------------|--|
| Signature | Considered |  |
|           |            |  |

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.epido.gcw">www.epido.gcw</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are red Complete if Known Substitute for form 1449B/PTO Application Number 10/769,415 INFORMATION DISCLOSURE Filing Date January 30, 2004 First Named Inventor STATEMENT BY APPLICANT **Andrew Tucker** Art Unit 2195 2431 (Use as many sheets as necessary) **Examiner Name** Tang, Kenneth Vaughan Sheet Attorney Docket Number 15437-0591 2 2 of

|                       |                          | NON PATENT LITERATURE DOC  | CUMENTS            |                   |    |
|-----------------------|--------------------------|--|--------------------|-------------------|----|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the an<br>magazine, journal, serial, symposium, catalog, etc<br>number(s), publisher, city and/or coun | c.), date, page    | (s), volume-issue | Τ² |
|                       |                          | MC DOUGALL, RICHARD, et al., "Resource Ma<br>25 pages.   |                    |                   |    |
|                       |                          |  |                    |                   |    |
|                       |                          |  |                    |                   |    |
|                       |                          |  |                    |                   |    |
|                       |                          |  |                    |                   |    |
| ·                     |                          |  |                    |                   |    |
| Examiner<br>Signature |                          | /Michael Vaughan/  | Date<br>Considered | 05/11/2009        |    |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

| INFORMATION DISCLOSURE CITATION ON PE IN AN APPLICATION (PTO-1449) |                          |                         |                                   |                                 | ATTY. DOCKET<br>15437-0591<br>APPLICANT:<br>Andrew G. Tuc | SERIAL NO.<br>10/769,415                            |               |
|--|--------------------------|-------------------------|-----------------------------------|---------------------------------|---|---|---------------|
| E .  | A                        | \$                      |                                   |                                 | FILING DATE:<br>January 30, 200                           | )4  | GROUP:<br>NYA |
| TEN PER  | ATTE MAN                 |                         |                                   | U.S. PATENT DOCU                |   |   |               |
| Exam.<br>Initial*  | Cite<br>No. <sup>1</sup> | U.S. Patent I<br>Number | Nind Code <sup>2</sup> (If known) | Name of Patentee<br>of Cited Do | or Applicant  | Date of Publication<br>Cited Document<br>MM-DD-YYYY | Lines, Where  |
|  |                          |                         | -                                 |                                 |   |   |               |
|  |                          |                         |                                   |                                 |   |   |               |

| Exam. Cite     | Fc                  | oreign Patent       | Document                             | Name of Patentee or Applicant  | Date of  | Pages, | Ί |
|----------------|---------------------|---------------------|--------------------------------------|--|--|--------|---|
| Initial • No.1 | Office <sup>3</sup> | Number <sup>4</sup> | Kind Code <sup>5</sup><br>(If known) | of Cited Document  Of Cited Document  MM-DD-YYYY  Repass  Reference  Publication of Cited Document  MM-DD-YYYY  Reference  Publication of Cited Document  MM-DD-YYYY  Reference  Figure 1  Publication of Cited Document  Amagenta 1  Company 1  C | Columns, Lines, Where Relevant Passages or Relevant Figures Appear | 1      |   |
|                |                     |                     |                                      |  |  |        |   |

| Translation | Cite Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published |
|-------------|---|
|             | POUL-HENNING KAMP, et al., "Jails: Confining the omnipotent root", 2 <sup>nd</sup> Intl System Administration and Networking Conference Proceedings "SANE 2000", May 22-25, 2000, Maastricht, The Netherlands   |
|             | Intl System Administration and Networking Conference Proceedings "SANE  |

| Examiner  | (Michael Voughan) | Date Considered |
|-----------|-------------------|-----------------|
| Signature | /Michael Vaughan/ | 05/11/2009      |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

SEP 2 2 2006 E

Sheet

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COLIMERCE

Under the Pastwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known

SAMP OF TORM 1449A/PTO
INFORMATION DISCLOSURE

1

STATEMENT BY APPLICANT
(Use as many sheets as necessary)

Application Number 10/769,415

Filing Date January 30, 2004

First Named Inventor Andrew G 4 Tucker
Art Unit 2169

Examiner Name Vaughan

Attorney Docket Number 15437-0591

|                       |              |   | U.S.PATENT D                   | OCUMENTS   |   |
|-----------------------|--------------|---|--------------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No.1 | Document Number  Number-Kind Code <sup>2 (3 known</sup> ) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       |              | US-2002/0120660 A1  | 08-29-2002                     | Hay et al.   |   |
|                       |              | US-   |                                |  |   |
|                       | 1            | US-   |                                |  |   |
|                       |              | US-   |                                |  |   |
|                       | 1            | US-   |                                |  |   |
|                       | 1            | US-   |                                |  |   |
|                       |              | US-   |                                |  |   |
| •                     | T            | US-   |                                |  |   |

| FOREIGN PATENT DOCUMENTS |   |                                   |   |  |   |
|--------------------------|---|-----------------------------------|---|--|---|
| Cite<br>No.'             | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY    | Name of Patentee or   |  | T <sup>6</sup>  |
|                          | Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) |                                   |   | Appear   |   |
|                          |   |                                   |   |  |   |
|                          |   |                                   |   |  |   |
|                          |   |                                   |   |  |   |
|                          |   |                                   |   |  |   |
|                          |   |                                   |   |  |   |
|                          |   | Cite No.' Foreign Patent Document | Cite No.' Foreign Patent Document Publication Date MM-DD-YYYY | Cite No.' Foreign Patent Document Publication Date Name of Patentee or Applicant of Cited Document | Cite No.' Foreign Patent Document Publication Date Name of Patentee or Applicant of Cited Document Pages, Columns, Lines, Where Relevant Passages or Relevant Figures |

| Examiner<br>Signature | /Michael Vaughan/ | Date<br>Considered | 05/11/2009 |
|-----------------------|-------------------|--------------------|------------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Nichola document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

15437-0591

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Attorney Docket Number

Substitute for form 1449A/PTO
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT
(Use as many sheets as necessary)

Complete if Known

Application Number 10/769,415

Filing Date January 30, 2004

First Named Inventor Andrew Tucker

Art Unit 2195

Examiner Name Tang, Kenneth Vaughan

Sheet 1 of 2

|                       |                |   | U.S.PATENT DO                  | CUMENTS  |   |
|-----------------------|----------------|---|--------------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No.1   | Document Number  Number-Kind Code <sup>2 (4 known</sup> ) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines. Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       | $\Box$         | 5,590,314   | 12-31-1996                     | Ueno et al.  |   |
|                       |                | 5,841,869   | 11-24-1998                     | Merkling et al.                                    |   |
|                       |                | 6,064,811   | 05-16-2000                     | Spilo et al.                                       |   |
|                       | 1 1            | 6,289,462 B1  | 09-11-1998                     | McNabb et al.                                      |   |
|                       | $\Box$         | 6,557,168 B1  | 04-29-2003                     | Czajkowski   |   |
|                       | $\Box$         | 6,681,238 B1  | 01-20-2004                     | Brice et al.                                       |   |
|                       |                | 6,701,460 B1  | 03-02-2004                     | Suwandi et al.                                     |   |
|                       |                | 6,944,699 B1  | 09-13-2005                     | Bugnion et al.                                     |   |
|                       |                | 7,051,340 B2  | 05-23-2006                     | Fisher et al.                                      |   |
|                       |                | 2002/0174215 A1   | 11-21-2002                     | Schaefer   |   |
|                       |                | 2003/0014466 A1   | 01-16-2003                     | Berger et al.                                      |   |
|                       |                | 2004/0215848 A1   | 10-28-2004                     | Craddock et al.                                    |   |
|                       |                |   |                                |  |   |
|                       |                |   |                                |  |   |
|                       |                |   |                                |  |   |
| ļ                     | - <del> </del> |   |                                |  |   |
|                       |                |   |                                |  |   |

|                       | FOREIGN PATENT DOCUMENTS |  |                                |  |  |                |
|-----------------------|--------------------------|--|--------------------------------|--|--|----------------|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>6</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines,<br>Where Relevant<br>Passages<br>or Relevant Figures<br>Appear | Т <sup>6</sup> |
|                       |                          | EP 389151 A2   | 09-26-1990                     | IBM  |  |                |
| <b> </b>              | † <u>-</u>               |  |                                |  |  |                |

|           | <br>           | · · · · · · · · · · · · · · · · · · · |
|-----------|----------------|---------------------------------------|
| Examiner  | Date           |                                       |
| Signature | <br>Considered |                                       |

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspio.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMR control number. Complete if Known Substitute for form 1449B/PTO Application Number 10/769,415 January 30, 2004 INFORMATION DISCLOSURE Filing Date STATEMENT BY APPLICANT First Named Inventor **Andrew Tucker** 2195 Art Unit (Use as many sheets as necessary) 2431 Examiner Name Tang, Kenneth Vaughan Sheet Attorney Docket Number 15437-0591 2 of 2

|                       |              | NON PATENT LITERATURE DOCUMENTS   |    |
|-----------------------|--------------|---|----|
| Examiner<br>Initials* | Cite<br>No.1 | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T² |
|                       |              | CZAJKOWSKI, G., "Application isolation in the Java Virtual Machine", 2000, ACM Press, Proceedings of the 15 <sup>th</sup> ACM SIGPLAN Conference on Object-Oriented Programming, Systems, Languages, and Applications, pp. 354-366.                             |    |
|                       |              | CZAJKOWSKI, G., "Multitasking without compromise: a virtual machine evolution", ACM Press, Proceedings of the 16 <sup>th</sup> ACM SIGPLAN Conference on Object Oriented Programming, Systems, Languages, and Applications, dated October 2001, pp. 125-138.    |    |
|                       |              | OSMAN, S., ET AL., "The design and implementation of Zap: a system for migrating computing environments", SIGOPS Operating System, Rev. 36, SI, dated December 2000, pp: 361-376.   |    |
|                       |              | PRESOTTO ET AL., "Interprocess Communication in the Ninth Edition Unix System", John Wiley & Sons, Ltd., dated March 1990, 4 pages.   |    |
|                       |              | STEVENS, "Advanced programming in the Unix Environment", Addison-Wesley, 1993, pages 427-436.   |    |
|                       |              | WATSON, "TrustedBSD – Adding Trusted Operating System Features to FreeBSD", The USENIX Association, 2001, 14 pages.   |    |
|                       |              | NOORDENDE ET AL., "Secure and Portable Confinement of Untrusted Programs", ACM, 2002, 14 pages.   |    |
|                       |              | HOPE, "Using Jails in FreeBSD for fun and profit", ;Login: The Magazine of USENIX &SAGE, volume 27, number 3, dated June 2002, pages 48-55.   |    |

| Examiner  |                   | Date       |            |
|-----------|-------------------|------------|------------|
| Signature | /Michael Vaughan/ | Considered | 05/11/2009 |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Customer Ref. No. SUN030221-US-NP

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

ns are required to respond to a collection of information unless it contains a valid OMB control number.

|                               |                        |                |       | Complete if Known      |                  |         |  |
|-------------------------------|------------------------|----------------|-------|------------------------|------------------|---------|--|
| Substitute for form 1449B/PTO |                        |                |       | Application Number     | 10/769,415       |         |  |
| IN                            | <b>IFORMATION</b>      | DISCL          | OSURE | Filing Date            | January 30, 2004 | 4       |  |
| S                             | STATEMENT BY APPLICANT |                |       | First Named Inventor   | Andrew Tucker    |         |  |
|                               | (Use as many shee      | ets as necessa | ry)   | Art Unit               | 2195-            | 2431    |  |
|                               | ,                      |                |       | Examiner Name          | Tang, Kenneth    | Vaughan |  |
| Sheet                         | 1                      | of             | 1     | Attorney Docket Number | 15437-0591       |         |  |

|                       |              | NON PATENT LITERATURE DO   |                           | ·  |    |
|-----------------------|--------------|--|---------------------------|--|----|
| Examiner<br>Initials* | Cite<br>No.1 | Include name of the author (in CAPITAL LETTERS), title of the a<br>magazine, journal, serial, symposium, catalog, et<br>number(s), publisher, city and/or coun | tc.), date, page          | (s), volume-issue                          | T² |
|                       |              | EUROPEAN PATENT OFFICE, "Communicatio Foreign application number 04 252 690.5 – 221 5 pages.   | n pursuant<br>1, received | to Article 94(3) EPC",<br>J June 17, 2008, |    |
|                       |              | CURRENT CLAIMS, Foreign application number 9 pages.  | er 04 252 6               | 90.5 – 2211,                               |    |
|                       |              |  |                           |  |    |
|                       |              |  |                           |  |    |
|                       |              |  |                           |  |    |
|                       |              |  |                           |  |    |
| Examiner<br>Signature |              | /Michael Vaughan/  | Date<br>Considered        | 05/11/2009                                 |    |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include

copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Sheet

PTO/SB/08B (07-05) Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

05/11/2009

perwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known

Substitute for form 1449B/PTO

#### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

| Сотр                   | iele ii kriowri       |
|------------------------|-----------------------|
| Application Number     | 10/769,415            |
| Filing Date            | January 30, 2004      |
| First Named Inventor   | Andrew Tucker         |
| Art Unit               | <del>2195 </del> 2431 |
| Examiner Name          | An Meng Ai T Vaughan  |
| Attorney Docket Number | 15437-0591            |
|                        |                       |

|                       | NON PATENT LITERATURE DOCUMENTS |  |                |  |  |  |
|-----------------------|---------------------------------|--|----------------|--|--|--|
| Examiner<br>Initials* | Cite<br>No.1                    | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |  |  |  |
|                       |                                 | STATE INTELLECTUAL PROPERTY OFFICE OF PRC, "Notification of First Office Action," App. No. 200410063163, dated December 8, 2006, 9 pages.  |                |  |  |  |
|                       |                                 | Current Claims, CA App. No. 200410063163, 15 pages.  |                |  |  |  |
|                       |                                 |  |                |  |  |  |
|                       |                                 |  |                |  |  |  |
|                       |                                 |  |                |  |  |  |
|                       |                                 |  |                |  |  |  |
|                       |                                 |  |                |  |  |  |
| Examiner              | <del></del>                     | (Michael Voughan) Date 05/11/2009  |                |  |  |  |

/Michael Vaughan/ Signature \*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include

Considered

copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

Sheet 1

#### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of 1

| Complete if Known             |               |         |  |  |  |  |
|-------------------------------|---------------|---------|--|--|--|--|
| Application Number 10/769,415 |               |         |  |  |  |  |
| Filing Date January 30, 2004  |               |         |  |  |  |  |
| First Named Inventor          | Andrew Tucker |         |  |  |  |  |
| Art Unit                      | 2195          | 2431    |  |  |  |  |
| Examiner Name                 | Tang, Kenneth | Vaughan |  |  |  |  |
| Attorney Docket Number        | 15437-0591    |         |  |  |  |  |

|                       |                |   | U.S.PATENT DO                  | CUMENTS  |   |
|-----------------------|----------------|---|--------------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No.1   | Document Number  Number-Kind Code <sup>2 (d known</sup> ) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines. Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       | ĦТ             | 7,103,745 B2  | 09-05-2006                     | Koning et al.                                      |   |
|                       |                | 7,363,495 B2  | 04-22-2008                     | Felt et al.  |   |
|                       |                | 2002/0156824 A1   | 10-24-2002                     | Armstrong et al.                                   |   |
|                       |                | 5,925,102   | 07-20-1999                     | Eilert et al.                                      |   |
|                       |                | 7,027,463 B2  | 04-11-2006                     | Mathew et al.                                      |   |
|                       |                | 5,983,270   | 11-09-1999                     | Abraham et al.                                     |   |
|                       |                | 6,438,594 B1  | 08-20-2002                     | Bowman-Amuah                                       |   |
|                       |                | 5,963,911   | 10-05-1999                     | Walker et al.                                      |   |
|                       |                | 7,194,439   | 03-20-2007                     | Kassan et al.                                      |   |
|                       |                | 6,356,915 B1  | 03-12-2002                     | Chtchetkine et al.                                 | ,   |
|                       |                | 6,938,169 B1  | 08-30-2005                     | Caronni et al.                                     |   |
|                       | $\blacksquare$ |   |                                |  |   |
|                       | 1              |   |                                |  |   |
|                       |                |   |                                |  |   |
|                       | .              |   |                                |  |   |
|                       | ╂—             |   |                                |  |   |
| <b> </b>              | 1              |   |                                |  |   |
|                       | 1              |   |                                |  |   |
|                       |                |   |                                |  |   |
|                       |                |   |                                |  |   |
| 1                     |                |   |                                |  |   |

|                       | FOREIGN PATENT DOCUMENTS |   |                                |  |  |                |  |  |  |
|-----------------------|--------------------------|---|--------------------------------|--|--|----------------|--|--|--|
| Examiner<br>Initials* | Cite<br>No.¹             | Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (# known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines,<br>Where Relevant<br>Passages<br>or Relevant Figures<br>Appear | T <sup>6</sup> |  |  |  |
|                       |                          |   |                                |  |  |                |  |  |  |
|                       |                          |   |                                |  |  |                |  |  |  |

| Examiner  | 4.6.              | Date       | 05/11/2009 |
|-----------|-------------------|------------|------------|
| Signature | /Michael Vaughan/ | Considered | 03/11/2003 |

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.aspto.gov">www.aspto.gov</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

|       |                               |          | <u> </u>             | Complete if Known      |                 |         |  |
|-------|-------------------------------|----------|----------------------|------------------------|-----------------|---------|--|
|       | Substitute for form 1449A/PTO | $\sim$ 1 | OCUDE                | Application Number     | 10/769,415      |         |  |
| -     | INFORMATION DIS               | _        |                      | Filing Date            | January 30, 200 | 4       |  |
| ,     | STATEMENT BY APPLICANT        |          | First Named Inventor | Andrew Tucker          |                 |         |  |
|       | (Use as many sheets as ne     | cess     | sary)                | Art Unit               | 2195            | 2431    |  |
|       |                               |          |                      | Examiner Name          | Tang, Kenneth   | Vaughan |  |
| Sheet | 1                             | of       | 2                    | Attorney Docket Number | 15437-0591      |         |  |

|                       |                          |   | U.S.PATENT DO                  | CUMENTS  |   |
|-----------------------|--------------------------|---|--------------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number  Number-Kind Code <sup>2 (I known</sup> ) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines. Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       |                          | 2005/0021788 A1   | 01-27-2005                     | Tucker et al.                                      |   |
|                       |                          | 5,963,911   | 10-05-1999                     | Walker et al.                                      |   |
|                       |                          | 6,438,594 B1  | 08-20-2002                     | Bowman-Amuah                                       |   |
|                       | $\Pi\Pi$                 | 2002/0156824 A1   | 10-24-2002                     | Armstrong et al.                                   |   |
|                       |                          | 2002/0173984 A1   | 11-21-2002                     | Robertson et al.                                   |   |
|                       |                          | ·   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       | +                        |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       | -                        |   |                                |  |   |
|                       | +                        |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       | ${\mathbb H}$            |   |                                |  |   |
|                       | +                        |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       | +                        |   |                                |  |   |
|                       |                          |   |                                |  |   |

| FOREIGN PATENT DOCUMENTS |                          |   |                                |  |  |    |  |
|--------------------------|--------------------------|---|--------------------------------|--|--|----|--|
| Examiner<br>Initials*    | Cite<br>No. <sup>1</sup> | Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (# known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines,<br>Where Relevant<br>Passages<br>or Relevant Figures<br>Appear | T⁵ |  |
|                          |                          |   |                                |  |  |    |  |
|                          |                          |   |                                |  |  |    |  |
|                          |                          |   |                                |  | 1  |    |  |

|           | <br>       |  |
|-----------|------------|--|
| Examiner  | Date       |  |
| Signature | Considered |  |

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Substitute for form 1449B/PTO 10/769,415 Application Number January 30, 2004 INFORMATION DISCLOSURE Filing Date First Named Inventor **Andrew Tucker** STATEMENT BY APPLICANT 2195 2431 Art Unit (Use as many sheets as necessary) Vaughan **Examiner Name** Tang, Kenneth 15437-0591 2 Attorney Docket Number Sheet of 2

|                       |                          | NON PATENT LITERATURE DOC  |                    |                   |    |
|-----------------------|--------------------------|--|--------------------|-------------------|----|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the ar<br>magazine, journal, serial, symposium, catalog, etc<br>number(s), publisher, city and/or coun | c.), date, paqe(:  | s), volume-issue  | T² |
|                       |                          | EUROPEAN PATENT OFFICE, "Result of Cons<br>04252689.7-1243, dated 08-11-08, 2 pages.   | ultation", A       | pplication number |    |
|                       |                          | CLAIMS, Application number 04252689.7-1243,  | , 5 pages.         |                   |    |
|                       |                          |  |                    |                   |    |
|                       |                          |  |                    |                   |    |
|                       |                          |  |                    | ·                 |    |
|                       |                          |  |                    |                   |    |
| Examiner<br>Signature |                          | /Michael Vaughan/  | Date<br>Considered | 05/11/2009        |    |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Customer Ref. No.

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached.

| INFORMATION DISCLOSURE CITATION IN AN APPLICATION (PTO-1449) |       |             |                                   |                                 | ATTY. DOCKET<br>15437-0591<br>APPLICANT:<br>Andrew G. Tucl |  |            | RIAL NO.<br>/769,415   |
|--|-------|-------------|-----------------------------------|---------------------------------|--|--|------------|--|
| ( T  | MOA 5 | 9 2004 (3)  |                                   |                                 | FILING DATE:<br>January 30, 200                            | 4  | GRC<br>218 | OUP: 2431  |
| ILS PATENT DOCUMENTS   |       |             |                                   |                                 |  |  |            |  |
| Exam.<br>Initial*  | No.'  | U.S. Patent | Kind Code <sup>2</sup> (If known) | Name of Patentee<br>of Cited Do | or Applicant   | Date of Publication Cited Documen MM-DD-YYYY | t          | Pages, Columns,<br>Lines, Where<br>Relevant<br>Passages or<br>Relevant Figures<br>Appear |
|  |       | 5,325,526   |                                   | Cameron                         | , et al.   | 6/28/1994                                    |            |  |
|  |       | 5,845,116   |                                   | Saito,                          | et al.   | 12/1/1998                                    |            |  |
|  |       | 5,437,032   |                                   | Wolf,                           | et al.   | 6/25/1995                                    |            |  |
|  |       |             |                                   |                                 |  |  |            |  |

| Exam.<br>Initial* | Cite No. | Fo<br>Office <sup>3</sup> | oreign Patent Do<br>Number <sup>4</sup> |    | REIGN PATENT DOCUMENTS  Name of Patentee or Applicant  of Cited Document | Date of<br>Publication of<br>Cited Document<br>MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>6</sup> |
|-------------------|----------|---------------------------|---|----|--|---|---|----------------|
| -                 |          | EP                        | 1282038                                 | A2 | Tanaka, Katsuyoshi   | 2/5/2003  |   |                |
|                   |          | EP                        | 1043658                                 | Al | Rogier, Pierre   | 10/11/2000  |   |                |

| Examiner<br>Initials* |          |   |  |
|-----------------------|----------|---|--|
|                       |          | European Search Report from the European Patent Office for Foreign Patent Application No. 04252690.5 (3 pgs.) |  |
|                       | <u> </u> | Claims As Filed in European Patent Application No. 04252690.5 (6 pgs.)  |  |

| Examiner  | /Michael Vaughan/ | Date Considered | 05/11/2009 |
|-----------|-------------------|-----------------|------------|
| Signature |                   |                 |            |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO

Sheet 1

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

| Co                     | mplete if Known  |         |
|------------------------|------------------|---------|
| Application Number     | 10/769,415       |         |
| Filing Date            | January 30, 2004 | 4       |
| First Named Inventor   | Andrew Tucker    |         |
| Art Unit               | 2195             | 2431    |
| Examiner Name          | Tang, Kenneth    | Vaughan |
| Attorney Docket Number | 15437-0591       |         |

|                       |                          |   | U.S.PATENT DO                  | CUMENTS  |   |
|-----------------------|--------------------------|---|--------------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number  Number-Kind Code <sup>2 (d known</sup> ) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines. Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       | I                        | 2004/0010624 A1   | 01-15-2004                     | Garofalo et al.                                    |   |
|                       |                          | 6,279,046 B1  | 08-21-2001                     | Armstrong et al.                                   | ·   |
|                       |                          | 7,076,634 B2  | 07-11-2006                     | Lambeth et al.                                     |   |
|                       |                          | 2004/0162914 A1   | 08-19-2004                     | St. Pierre et al.                                  |   |
|                       |                          | 5,784,706   | 07-21-1998                     | Oberlin et al.                                     |   |
|                       |                          | 7,095,738 B1  | 08-22-2006                     | Desanti  |   |
|                       |                          | 2003/0069939 A1   | 04-10-2003                     | Russell  |   |
|                       |                          | 6,075,938   | 06-13-2000                     | Bugnion et al.                                     |   |
|                       |                          | 6,681,258 B1  | 01-20-2004                     | Ratcliff et al.                                    |   |
|                       |                          | 6,633,963 B1  | 10-14-2003                     | Ellison et al.                                     |   |
|                       |                          | 5,841,869   | 11-24-1998                     | Merkling et al.                                    |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       |                          |   |                                |  |   |
|                       | _                        |   |                                |  |   |
|                       | 1_1                      |   | ***                            |  |   |
|                       | 1                        | •   |                                |  |   |
|                       | $\sqcup$                 |   |                                |  |   |
|                       | 1                        |   |                                |  |   |
|                       | 1                        |   |                                |  |   |

|                       | FOREIGN PATENT DOCUMENTS |  |                                |  |  |                |  |  |  |
|-----------------------|--------------------------|--|--------------------------------|--|--|----------------|--|--|--|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines,<br>Where Relevant<br>Passages<br>or Relevant Figures<br>Appear | Т <sup>6</sup> |  |  |  |
|                       |                          | WO 00/45262 A2   | 08-03-2000                     | Sun Microsystems, Inc.                             |  |                |  |  |  |
|                       | <b>†</b>                 |  |                                | 1  | ]  |                |  |  |  |

| Examiner  | /Michael Vaughan/ | Date       | 05/44/0000 |
|-----------|-------------------|------------|------------|
| Signature | /Michael Vaughan/ | Considered | 05/11/2009 |

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.espto.gov">www.espto.gov</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. This is not document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.